

AP20 REG 170 PTO 05 MAY 2006

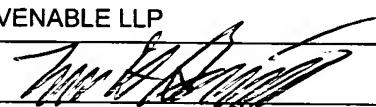
PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| | | | |
|---|--|------------------------|------------------------------|
| <h1 style="text-align: center;">TRANSMITTAL FORM</h1> <p style="text-align: center;">(to be used for all correspondence after initial filing)</p> | | Application Number | Not Yet Assigned |
| | | Filing Date | 12/27/05 405 |
| | | First Named Inventor | Joseph J. BARCHI, Jr. et al. |
| | | Art Unit | Not Yet Assigned |
| | | Examiner Name | Not Yet Assigned |
| Total Number of Pages in This Submission | | Attorney Docket Number | 31978-230391 |

| ENCLOSURES (Check all that apply) | | |
|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Transmittal Letter to the DO/EO/US Concerning Submission Under 35 U.S.C. § 371 (including statement of fees); Return Receipt Postcard; Application Data Sheet; and Preliminary Statement |
| <div style="border: 1px solid black; padding: 5px;">Remarks</div> | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | |
|--|---|----------|--------|
| Firm Name | VENABLE LLP | | |
| Signature |  | | |
| Printed name | Lars H. Genieser | | |
| Date | May 5, 2006 | Reg. No. | 46,722 |

DOC#749052/1

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| | | |
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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 31978-230391 |
| INTERNATIONAL APPLICATION NO. PCT/US2003/034897 | INTERNATIONAL FILING DATE November 5, 2003 | U.S. APPLICATION NO. (if known, see 37 CFR 1.5) et. seq. 31978-230391 |
| TITLE OF INVENTION BIOFUNCTIONALIZED QUANTUM DOTS FOR BIOLOGICAL IMAGING | | PRIORITY DATE CLAIMED November 5, 2003 |
| APPLICANT(S) FOR DO/EO/US Joseph J. BARCHI, Jr. et al. | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 20 below concern document(s) or information included: | | |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary statement. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | |

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|---|---|--|
| <p>10/578405</p> <p>U.S. APPLICATION NO. 10/578405 Not Yet Assigned</p> | <p>INTERNATIONAL APPLICATION NO. PCT/US2003/034897</p> | <p>ATTORNEY'S DOCKET NUMBER 31978-230391</p> |
| <p>20. <input type="checkbox"/> Other items or information:</p> | | |
| <p>The following fees have been submitted</p> | | |
| <p>21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)) \$300</p> | <p>CALCULATIONS</p> <p>\$ 300.00</p> | <p>PTO USE ONLY</p> |
| <p>22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 All other situations \$200</p> | <p>\$ 200.00</p> | |
| <p>23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400 All other situations \$500</p> | <p>\$ 100.00</p> | |
| <p>TOTAL OF 21, 22 and 23 =</p> | | <p>\$ 600.00</p> |
| <p><input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.</p> | | |
| <p>Total Sheets</p> | <p>Extra Sheets</p> | <p>Number of each additional 50 or fraction thereof (round up to a whole number)</p> |
| <p>61 - 100 =</p> | <p>/50 =</p> | <p>x \$250.00</p> |
| <p>Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).</p> | | <p>\$</p> |
| <p>CLAIMS</p> | <p>NUMBER FILED</p> | <p>NUMBER EXTRA</p> |
| <p>Total claims</p> | <p>29 - 20 =</p> | <p>9</p> |
| <p>Independent claims</p> | <p>2 - 3 =</p> | <p>x</p> |
| <p>MULTIPLE DEPENDENT CLAIM(S) (if applicable)</p> | | <p>+</p> |
| <p>TOTAL OF ABOVE CALCULATIONS =</p> | | <p>\$ 1050.00</p> |
| <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.</p> | | |
| <p>SUBTOTAL =</p> | | <p>\$ 1050.00</p> |
| <p>Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).</p> | | <p>\$</p> |
| <p>TOTAL NATIONAL FEE =</p> | | <p>\$ 1050.00</p> |
| <p>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</p> | | <p>\$</p> |
| <p>TOTAL FEES ENCLOSED =</p> | | <p>\$ 1050.00</p> |
| <p>Amount to be refunded:</p> | | <p>\$</p> |
| <p>Amount to be charged</p> | | <p>\$ 1050.00</p> |

10/5/8405

PTO-1390 (Rev. 07-2005)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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- 1AP20 Rec'd PGT/PTO 05 MAY 2006**
- a. ☐ A check in the amount of \$ _____ to cover the above fees.
- b. ☒ Please charge my Deposit Account No. 22-0261 in the amount of \$ 1050.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 22-0261. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:


SIGNATURE

Lars H. Genieser
NAME

CUSTOMER NUMBER: 26694

Dated: May 5, 2006

46,722
REGISTRATION NUMBER

14P200330-1010 MAY 2006

PTO/SB/17 (01-06)

Approved for use through 7/31/2006. OMB 0651-0032

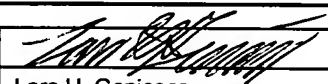
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|---|--|--------------------------|------------------------------|---------------------|--------------|
| FEE TRANSMITTAL For FY 2006 | | Complete if Known | | | |
| Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 | | Application Number | Not Yet Assigned | | |
| | | Filing Date | May 5, 2006 | | |
| | | First Named Inventor | Joseph J. BARCHI, Jr. et al. | | |
| | | Examiner Name | Not Yet Assigned | | |
| | | Art Unit | Not Yet Assigned | | |
| TOTAL AMOUNT OF PAYMENT | | (\$) | 1050.00 | Attorney Docket No. | 31978-230391 |

| | |
|--|--|
| METHOD OF PAYMENT (check all that apply) | |
| <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> None <input type="checkbox"/> Other (please identify): _____ | |
| <input checked="" type="checkbox"/> Deposit Account Deposit Account Number: <u>22-0261</u> Deposit Account Name: <u>Venable LLP</u> | |
| For the above-identified deposit account, the Director is hereby authorized to: (check all that apply) | |
| <input type="checkbox"/> Charge fee(s) indicated below <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee | |
| <input checked="" type="checkbox"/> Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Credit any overpayments | |

| FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.) | | | | | | | |
|---|-------------|---------------------------|-------------|--|------------------|--|-----------------|
| 1. BASIC FILING, SEARCH, AND EXAMINATION FEES | | | | | | | |
| Application Type | FILING FEES | | SEARCH FEES | | EXAMINATION FEES | | Fees Paid (\$) |
| | Fee (\$) | Small Entity Fee (\$) | Fee (\$) | Small Entity Fee (\$) | Fee (\$) | Small Entity Fee (\$) | |
| Utility | 300 | 150 | 500 | 250 | 200 | 100 | |
| Design | 200 | 100 | 100 | 50 | 130 | 65 | |
| Plant | 200 | 100 | 300 | 150 | 160 | 80 | |
| Reissue | 300 | 150 | 500 | 250 | 600 | 300 | |
| Provisional | 200 | 100 | 0 | 0 | 0 | 0 | |
| 2. EXCESS CLAIM FEES | | | | | | | |
| | | | | | | Small Entity Fee (\$) | Fee (\$) |
| Each claim over 20 (including Reissues) | | | | | | 50 | 25 |
| Each independent claim over 3 (including Reissues) | | | | | | 200 | 100 |
| Multiple dependent claims | | | | | | 360 | 180 |
| Total Claims 29 - 20 = 9 | | Extra Claims 9 | | Fee (\$) 50.00 | | Fee Paid (\$) 450.00 | |
| HP = highest number of total claims paid for, if greater than 20. | | | | | | | |
| Indep. Claims 2 - 3 = 3 | | Extra Claims 3 | | Fee (\$) 300.00 | | Fee Paid (\$) 300.00 | |
| HP = highest number of independent claims paid for, if greater than 3. | | | | | | | |
| 3. APPLICATION SIZE FEE | | | | | | | |
| If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | | | | |
| Total Sheets 61 - 100 = 61 | | Extra Sheets 61 | | Number of each additional 50 or fraction thereof 1 | | Fee (\$) 125 | |
| | | | | | | Fee Paid (\$) 125 | |
| 4. OTHER FEE(S) | | | | | | | |
| Non-English Specification, \$130 fee (no small entity discount) | | | | | | | |
| Other (e.g., late filing surcharge): National Stage Filing Fees | | | | | | \$600.00 | |

| | | | |
|---------------------|---|-----------------------------------|----------------|
| SUBMITTED BY | | | |
| Signature |  | Registration No. (Attorney/Agent) | 46,722 |
| Name (Print/Type) | Lars H. Genieser | Telephone | (202) 344-4000 |
| | | Date | May 5, 2006 |

DOC#749144/1